

**MISCELLANEOUS CASE COVER SHEET****PLAINTIFFS**

United States of America

Attorney's (Firm Name, Address, and Telephone Number)

AUSAs Vladislav Vainberg/Margery Feinzig  
 U.S. Attorney's Office, 300 Quarropas Street, White Plains, NY 10601  
 Tel. (914) 993-1932/1903

**DEFENDANTS**

In re: Any and all funds in account number  
 015062762365 held in the name of ECP, Inc. located at JP  
 Morgan Chase Bank, et. al.

Attorneys (If Known)

Kevin T. Conway, Esq.  
 664 Chestnut Ridge Rd. Spring Valley, NY 10977  
 Tel. (845) 406-4956

**DESCRIPTION OF CASE**

Consent Restraining Order

**Has this or a similar case been previously filed in SDNY ?**No? ☒ Yes? ☐ Judge Previously Assigned \_\_\_\_\_If yes, was this case: Vol. ☐ Invol. ☐ Dismissed. No ☐ Yes ☐

If yes, give date \_\_\_\_\_ &amp; Case No. \_\_\_\_\_

**NATURE OF CASE**

- ☐ M 08-65 Letters Rogatory - Cuba  
☐ M 08-85 Motion to Compel  
☐ M 08-85 Motion to Quash  
☐ M 08-86 Internet Infringement  
☐ M 08-88 Surety Companies  
☐ M 08-425 Sureties Proceedings  
☐ M 09-282 Attorney Change of Name  
☐ M 09-342 Letters Rogatory - Costa Rica  
☐ M 09-372 Letters Rogatory - Spain  
☐ M 10-7 Letters Rogatory - Argentina  
☐ M 10-63 Letters Rogatory - Sweden  
☐ M 11-03 SEC Litigation to Freeze Account  
☐ M 11-120 Letters Rogatory - Mexico  
☐ M 11-188 Subpoenas - Habeas Corpus  
☐ M 11-189 Subpoenas - Habeas Corpus  
☐ M 12-160 Letters Rogatory - Canada  
☐ M 12-329 Letters Rogatory - Italy  
☐ M 13-72 Letters Rogatory - Brazil  
☐ M 15-306 Letters Rogatory - Puerto Rico  
☐ M 15-377 Letters Rogatory - Venezuela  
☐ M 16-59 Letters Rogatory - Czech Republic  
☐ M 16-88 Sale of Unclaimed Seamen's Effects  
☐ M 16-286 Letters Rogatory - Guatemala  
☐ M 16-347 Letters Rogatory - Columbia  
☐ M 18-66 Forfeiture Proceedings - Funds Held in trust. 28 USC 1746  
☐ M 18-113 Letters Rogatory - Tanzania  
☐ M 18-117 Letters Rogatory - Poland  
☐ M 18-302 Registration of Foreign Judgment  
☐ M 18-304 Administrative Subpoena Proceedings  
☐ M 18-305 Registration of Student Loan Judgment  
☐ M 18-981 Nonjudicial Civil Forfeiture Proceeding  
☐ M 19-4 Letters Rogatory - Jamaica  
☐ M 19-5 Letters Rogatory - Trinidad & Tobago  
☐ M 19-25 Order Authorizing IRS Officer to Enter Premises for Levy  
☐ M 19-42 Letters Rogatory - Egypt  
☐ M 19-43 Letters Rogatory - Estonia  
☐ M 19-51 Letters Rogatory - Algeria  
☐ M 19-58 General Bonds in Admiralty Purs. to Local Admiralty Rule 8  
☐ M 19-60 Letters Rogatory - Bulgaria  
☐ M 19-63 Receivers - Property in Other Districts  
☐ M 19-67 Letters Rogatory - Chile  
☐ M 19-70 Letters Rogatory - France  
☐ M 19-71 Letters Rogatory - Thailand

- ☐ M 19-73 Letters Rogatory - Austria  
☐ M 19-76 Letters Rogatory - Turkey  
☐ M 19-77 Letters Rogatory - Arabia  
☐ M 19-78 Denial to Sue In Forma Pauperis  
☐ M 19-80 Letters Rogatory - Morocco  
☐ M 19-82 Letters Rogatory - Japan  
☐ M 19-83 Letters Rogatory - Australia  
☐ M 19-84 Letters Rogatory - Switzerland  
☐ M 19-85 Letters Rogatory - Denmark  
☐ M 19-86 Letters Rogatory - India  
☐ M 19-88 Letters Rogatory - Germany  
☐ M 19-89 Letters Rogatory - Guinea  
☐ M 19-90 Letters Rogatory - Norway  
☐ M 19-91 Letters Rogatory - West Pakistan  
☐ M 19-92 Letters Rogatory - Bahamas  
☐ M 19-96 Letters Rogatory - Great Britain  
☐ M 19-98 Letters Rogatory - Somalia  
☐ M 19-99 Letters Rogatory - Netherlands  
☐ M 19-101 Letters Rogatory - Aruba  
☐ M 19-102 Letters Rogatory - Peru  
☐ M 19-103 Letters Rogatory - Andorra  
☐ M 19-104 Letters Rogatory - Brussels  
☐ M 19-106 Letters Rogatory - Mauritania  
☐ M 19-107 Letters Rogatory - Luxembourg  
☐ M 19-109 Letters Rogatory - Portugal  
☐ M 19-110 Letters Rogatory - Israel  
☐ M 19-111 Letters Rogatory - Ecuador  
☐ M 19-112 Letters Rogatory - Ireland  
☐ M 19-113 Letters Rogatory - Haiti  
☐ M 19-114 Letters Rogatory - Greece  
☐ M 19-115 Letters Rogatory - Belgium  
☐ M 19-116 Letters Rogatory - Russia  
☐ M 19-117 Letters Rogatory - Hong Kong  
☐ M 19-118 Letters Rogatory - Bermuda  
☐ M 19-119 Letters Rogatory - Monaco  
☐ M 19-120 Letters Rogatory - Hungary  
☐ M 19-121 Letters Rogatory - Lithuania  
☐ M 19-122 Letters Rogatory - Latvia  
☐ M 19-123 Letters Rogatory - Finland  
☐ M 19-130 Letters Rogatory - Kazakhstan  
☐ M 19-131 Letters Rogatory - Dabal  
☐ M 19-132 Letters Rogatory - New Zealand  
☐ M 19-133 Letters Rogatory - Belarus

**NATURE OF CASE CONTINUED**

- ☐ M 19-134 Letters Rogatory - Cyprus  
☐ M 19-135 Letters Rogatory - South Africa  
☐ M 19-136 Letters Rogatory - Jersey  
☐ M 19-137 Letters Rogatory - Antigua  
☐ M 19-138 Letters Rogatory - Saint Vincent Grenadines  
☐ M 19-139 Letters Rogatory - British Virgin Islands  
☐ M 19-141 Letters Rogatory - Korea  
☐ M 19-143 Letters Rogatory - Liechtenstein  
☐ M 19-145 Letters Rogatory - Slovak Republic  
☐ M 19-146 Letters Rogatory - China  
☐ M 19-148 Letters Rogatory - Anguilla  
☐ M 19-151 Letters Rogatory - Ukraine  
☐ M 19-152 Letters Rogatory - Croatia  
☐ M 19-155 Letters Rogatory - Special Court for Sierra Leone  
☐ M 19-156 Letters Rogatory - Moldova  
☐ M 19-193 Letters Rogatory - Yugoslavia  
☐ M 19-194 Letters Rogatory - Philippines  
☐ M 19-195 Letters Rogatory - Pakistan  
☐ M 19-196 Letters Rogatory - Zimbabwe  
☐ M 19-197 Letters Rogatory - Nigeria  
☐ M 19-198 Letters Rogatory - Namibia  
☐ M 19-199 Letters Rogatory - Indonesia  
☐ M 19-200 Letters Rogatory - Zambia  
☐ M 19-201 Letters Rogatory - Romania  
☐ M 19-300 Letters Rogatory - Uruguay  
☐ M 19-301 Letters Rogatory - Uganda  
☐ M 19-302 Letters Rogatory - Singapore  
☐ M 19-303 Letters Rogatory - Mauritius  
☐ M 19-305 Letters Rogatory - Panama  
☐ M 19-373 Letters Rogatory - Vietnam  
☐ M 19-374 Letters Rogatory - Cayman Islands  
☐ M 19-376 Letters Rogatory - Kenya  
☐ M 19-378 Letters Rogatory - Azerbaijan  
☐ M 19-379 Letters Rogatory - Guam  
☐ M 19-380 Letters Rogatory - Paraguay  
☐ M 19-382 Letters Rogatory - Bangladesh  
☐ M 19-383 Letters Rogatory - Albania  
☐ M 19-384 Letters Rogatory - Malawi  
☐ M 19-385 Letters Rogatory - Montenegro  
☐ M 19-386 Letters Rogatory - Seychelles  
☐ M 22-1 Designation by U.S. Attorney of Individual to accept service of summons and complaint  
☐ M 22-2 Designation of individual to issue certified copies in bankruptcy part  
☐ M 23 Petition to Perpetuate Testimony  
☐ M 25-1 Order for Entry to Effect Levy - IRS Matter  
☐ M 25-2 Permission to have access to safe deposit boxes  
☐ M 26-1 Proceeding to Enforce Order of Administrator - National Credit Union  
☐ M 26-2 Application to Enforce Administrative Order Rule 5A Rule of Division of Business among District Judges  
☐ M 28 Warrant for Entry & Inspection of Premises  
☐ M 29 Privacy Act Application  
☐ M 30 Privacy Act Application  
☐ M 31 Order of Commodity Exchange Commission Directing Person to Pay Money  
☐ M 32 Petition for Writ to Produce Federal Prisoner in State Court  
☐ M 33 Inspection Warrant - Department of Energy  
☐ M 34 Order of Another District Court that the State Court Produce  
☐ M 35 Order to Stay Transfer of Federal Prisoner  
☐ M 36 National Labor Relations Board  
☐ M 37 Application to Re-Open Civil Case(s) that are more than 25 years old  
☐ M 38 Application for Reassignment of Bankruptcy Proceeding  
☐ M 39 Application for Discovery and Inspection of Defendant Detained in Federal Prison  
☐ M 41 Order of Return of 28:2254/2255 Petition  
☐ M 42 Order Denying Stay of Deportation  
☐ M 43 Contempt of Court in Bankruptcy  
☐ M 44 Claim Compensation under Longshoremens & Harbor Workers Compensation Act  
☐ M 46 Order From Another District for Public Viewing  
☐ M 47 Bankruptcy Cases - Before Appeal Filed  
☐ M 47B Transmission of Proposed Findings of Fact and Conclusions of Law  
☐ M 48 Application for Appointment of Counsel - No Case In This Court  
☐ M 49 Order Denying Commencement of Civil Action  
☐ M 51 Order to Show Cause - Case Being Transferred from Northern District of New York  
☐ M 52 Application for Leave to File a Complaint  
☐ M 53 Order Barring Individual from Entering Courthouse Building  
☐ M 54 Immigration Naturalization - Order Delaying Deportation  
☐ M 55 Petition for Appointment of Impartial Umpire - Labor Management Relations Act and Others  
☐ M 58 Application for Extension of Time to File Petition for Removal  
☐ M 59 Application to Produce Federal Prisoner in State Court  
☐ M 67 Notice of Eviction to Squatters (USA Cases)  
☐ M 70 Asbestos Litigation - SDNY  
☐ M 71 Application re: Federal Rules Cr. 11(e)(2)  
☐ M 72 Order of Attachment of Another District - EDNY  
☐ M 73 Subpoena to Government Agency  
☐ M 75 Application for Writ of Garnishment  
☐ M 76 Central Violations Bureau  
☐ M 77 Application to have subpoena issued to person living in this district regarding action in foreign country or tribunal  
☐ M 87 Order Returning Fees in Miscellaneous Matters  
☐ M 88 Order Denying Leave to File Civil Case(s) Under Seal  
☐ M 90 Order of Attachment  
☒ Other (Please Specify) Consent Restraining Order

DO YOU CLAIM THIS CASE IS RELATED TO A MISCELLANEOUS CASE NOW PENDING IN THE SDNY?  
IF SO, STATE:

JUDGE \_\_\_\_\_ MISCELLANEOUS CASE NUMBER NUMBER \_\_\_\_\_

**NOTE:** Please submit at the time of filing an explanation of why cases are deemed related

**PLAINTIFF(S) ADDRESS(ES) AND COUNTY(IES)**

United States of America  
AUSAs Vladislav Vainberg and Margery Feinzig  
U.S. Attorney's Office, 300 Quarropas Street, White Plains, NY 10601

**DEFENDANT(S) ADDRESS(ES) AND COUNTY(IES)**

**DEFENDANT(S) ADDRESS UNKNOWN**

REPRESENTATION IS HEREBY MADE THAT, AT THIS TIME, I HAVE BEEN UNABLE, WITH REASONABLE DILIGENCE, TO ASCERTAIN THE RESIDENCE ADDRESSES OF THE FOLLOWING DEFENDANTS:

**CHECK ONE:** THIS ACTION SHOULD BE ASSIGNED TO



WHITE PLAINS



MANHATTAN

DATE June 6, 2018

SIGNATURE OF ATTORNEY OF RECORD

ADMITTED/AUTHORIZED TO PRACTICE IN THIS DISTRICT



RECEIPT #

Ruby J. Krajick, Clerk of Court, by \_\_\_\_\_, DATED \_\_\_\_\_.

**NOTES:**

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

- - - - -  
In Re: :

Any and all funds in account number :  
015062762365 held in the name of  
ECP, Inc. located at JPMorgan Chase :  
Bank, N.A.;

CONSENT RESTRAINING  
ORDER PURSUANT TO  
18 U.S.C. § 981, 21 U.S.C.  
853, and 28 U.S.C. § 2461

Any and all funds in account number :  
0310064762765 held in the name of :  
ECP, Inc. located at JPMorgan Chase :  
Bank, N.A.;

18 Misc.

Any and all funds in account number :  
6809196613 held in the name of  
Sonia May located at JPMorgan Chase :  
Bank, N.A.;

Any and all funds in account number :  
93631142670 held in the name of :  
Sonia May located at JPMorgan Chase :  
Bank, N.A.;

Any and all funds in account number :  
986666 held in the name of  
Executive Compensation Planners, :  
Inc. located at Citibank Bank, NA;

Any and all funds in account number :  
16072324 held in the name of Hector :  
May located at Sterling Bank;

Any and all funds in account number :  
7800002292 held in the name of :  
Hector May located at Sterling :  
Bank;

Any and all funds in account number :  
7800124019 held in the name of  
Sonia May located at Sterling Bank; :

Any and all funds held in accounts

in the name of Hector May or Sonia :  
May, located at Securities America :  
Inc., including without limitation :  
accounts AEW-181480, :  
81802257301AKO, 81802257302AKO, :  
RCT395730, STL158178, and any :  
deferred compensation plans; :

Any and all funds held in accounts :  
in the name of Sonia May and Hector :  
May located at Franklin Templeton :  
Investor Services, LLC, including :  
without limitation account :  
60160765368106011; :

All jewelry, fur products, :  
antiques, and silver owned by :  
Hector May or Sonia May; :

All that lot or parcel of land, :  
together with its buildings, :  
appurtenances, improvements, :  
fixtures, attachments and :  
easements, located at 3 Dutchess :  
Drive, Orangeburg, New York 10962; :

All that lot or parcel of land,  
together with its buildings,  
appurtenances, improvements,  
fixtures, attachments and  
easements, located at 12 Stonehill  
Drive, Unit 4, Vernon, New Jersey;  
and

o) Any financial instruments,  
cash, receivables, loan repayments,  
income, dividends, distributions,  
commissions, securities, bonds,  
insurance policy redemptions or  
surrender, any other redemptions,  
or any other financial assets,  
owned by Hector May or received by  
Hector May from the date of this  
Order, other than (1) monthly

social security payments and  
Equitable Life Pension payments  
paid to Hector May and deposited in  
the account 1813624657 in the name  
of Hector May and Sonia May at  
JPMorgan Chase Bank, N.A. (the  
"Joint Account") and (2) \$ 38,666.  
in funds currently held in the  
Joint Account as of the date of  
this Order

*W. J. N.*

- - - - - X

WHEREAS, this matter arises out of an investigation  
conducted by the United States Attorney's Office for the Southern  
District of New York into a securities fraud scheme operated through  
Executive Compensation Planners ("ECP") by Hector May in violation  
of 15 U.S.C. §§ 78j(b) & 78ff and 17 C.F.R. § 240.10b-5;

WHEREAS, Title 21, United States Code, Section 853(e)  
empowers courts to issue restraining orders and take other actions to  
preserve the availability of property for forfeiture;

WHEREAS, the Government has identified the following  
property owned by Hector May and/or his wife Sonia May that it  
believes constitute proceeds of securities fraud, and are thus  
subject to criminal forfeiture pursuant to 18 U.S.C. § 981(a)(1)(C),  
and 28 U.S.C. § 2461:

- a) Any and all funds in account number 015062762365 held  
in the name of ECP, Inc. located at JPMorgan Chase  
Bank, N.A.;

- b) Any and all funds in account number 0310064762765 held in the name of ECP, Inc. located at JPMorgan Chase Bank, N.A.;
- c) Any and all funds in account number 6809196613 held in the name of Sonia May located at JPMorgan Chase Bank, N.A.;
- d) Any and all funds in account number 93631142670 held in the name of Sonia May located at JPMorgan Chase Bank, N.A.;
- e) Any and all funds in account number 986666 held in the name of Executive Compensation Planners, Inc. located at Citibank Bank, NA;
- f) Any and all funds in account number 16072324 held in the name of Hector May located at Sterling Bank;
- g) Any and all funds in account number 7800002292 held in the name of Hector May located at Sterling Bank;
- h) Any and all funds in account number 7800124019 held in the name of Sonia May located at Sterling Bank;
- i) Any and all funds held in accounts in the name of Hector May or Sonia May, located at Securities America Inc., including without limitation accounts AEW-181480, 81802257301AKO, 81802257302AKO, RCT395730, STL158178, and any deferred compensation plans;
- j) Any and all funds held in accounts in the name of Sonia May and Hector May located at Franklin Templeton Investor Services, LLC, including without limitation account 60160765368106011;

- k) All jewelry, fur products, antiques, and silver owned by Hector May or Sonia May,
- l) All that lot or parcel of land, together with its buildings, appurtenances, improvements, fixtures, attachments and easements, located at 3 Dutchess Drive, Orangeburg, New York 10962; and
- m) All that lot or parcel of land, together with its buildings, appurtenances, improvements, fixtures, attachments and easements, located at 12 Stonehill Drive, Unit 4, Vernon, New Jersey; and
- n) Any financial instruments, cash, receivables, loan repayments, income, dividends, distributions, commissions, securities, bonds, insurance policy redemptions or surrender, any other redemptions, or any other financial assets, owned by Hector May or received by Hector May from the date of this Order, other than (1) monthly social security payments and Equitable Life Pension payments paid to Hector May and deposited in the account 1813624657 in the name of Hector May and Sonia May at JPMorgan Chase Bank N.A. (the "Joint Account") and (2) \$ 35,666.41 in funds currently held in the Joint Account as of the date of this Order.

(the "Subject Property").

WHEREAS, the Government and Hector and Sonia May have agreed that the Subject Property should be restrained pending the resolution of the criminal investigation;

IT IS HEREBY STIPULATED AND AGREED, by and between the United States of America, by its attorney Geoffrey S. Berman, United States Attorney, Assistant United States Attorneys Vladislav Vainberg



and Margery Feinzig, of counsel, and Hector May and Sonia May, and their counsel, Kevin T. Conway, Esq., that:

1. Hector May and Sonia May, and all attorneys and other persons and entities acting for or in concert with the above-named individuals, businesses and/or entities having actual knowledge of this Order shall not take any action prohibited by this Consent Restraining Order;

2. Hector May and Sonia May, their attorneys, agents, employees and anyone acting on their behalf, and all persons or entities acting in concert or participation with any of the above, all relevant financial institutions, and all persons and entities having actual knowledge of this Consent Restraining Order, shall not, directly or indirectly, transfer, sell, assign, pledge, hypothecate, encumber, or dispose of in any manner; cause to be transferred, sold, assigned, pledged, hypothecated, encumbered, disposed of in any manner; or take, or cause to be taken, any action that would have the effect of depreciating, damaging, or in any way diminishing the value of the Subject Property.

3. The United States Attorney's Office for the Southern District of New York, in its discretion, is authorized to direct the release of assets restrained herein. The entities listed in this Order where Hector May and Sonia May maintain assets may contact the

following Assistant United States Attorneys to clarify the scope of the Order: Assistant United States Attorneys Margery Feinzig and Vladislav Vainberg, telephone number (914) 993-1903 or (914) 993-1932, e-mail [margery.feinzig@usdoj.gov](mailto:margery.feinzig@usdoj.gov) or [vladislav.vainberg@usdoj.gov](mailto:vladislav.vainberg@usdoj.gov). Those entities will not be deemed in violation of this Consent Restraining Order for any transactions undertaken upon written approval made by the aforementioned Assistant United States Attorneys.

4. This Consent Restraining Order shall be binding upon Hector May and Sonia May, their attorneys, agents, and employees, and all persons in active concert or participation with any of the above, all entities described herein, or any other person having actual knowledge of this Consent Restraining Order, and that this Order shall remain in effect until further order of this Court;

5. Upon request by the Government, the above identified financial institutions and other entities JP Morgan Chase N.A., Citibank N.A., Sterling Bank, N.A., Franklin Templeton Investor Services, LLC, and Securities America, Inc., will identify the account name, account number and signatories for the restrained accounts and provide the Government with monthly statements of the restrained accounts and the balance in the accounts; and

6. Any entity named herein shall accept service of this Consent Restraining Order by email or facsimile transmission provided that an original hard copy is thereafter served by regular mail upon the request of the entity;

7. The signature page of this Consent Restraining Order may be executed in one or more counterparts, each of which will be

deemed an original but all of which together will constitute one and the same instrument.

AGREED AND CONSENTED TO:

GEOFFREY S. BERMAN  
United States Attorney for the  
Southern District of New York

By: Margery Feinzig / Vlad Vainberg 6/6/2018  
MARGERY FEINZIG / VLADISLAV VAINBERG  
Assistant United States Attorneys  
300 Quarropas Street,  
White Plains, NY 10601  
(914)993-1903/1932  
DATE

HECTOR MAY

By: [Signature] 6-6-18  
HECTOR MAY  
DATE

By: [Signature] 6-6-18  
SONIA MAY  
DATE

By: [Signature] 6/6/18  
KEVIN T. CONWAY, Esq.  
Attorney for Hector May  
DATE

SO ORDERED:

\_\_\_\_\_  
HONORABLE  
UNITED STATES DISTRICT JUDGE

\_\_\_\_\_  
DATE